



DORSUM'S ESG INTEGRATION MODULE

FOR PORTFOLIO MANAGEMENT SYSTEMS AND CLIENT PORTALS

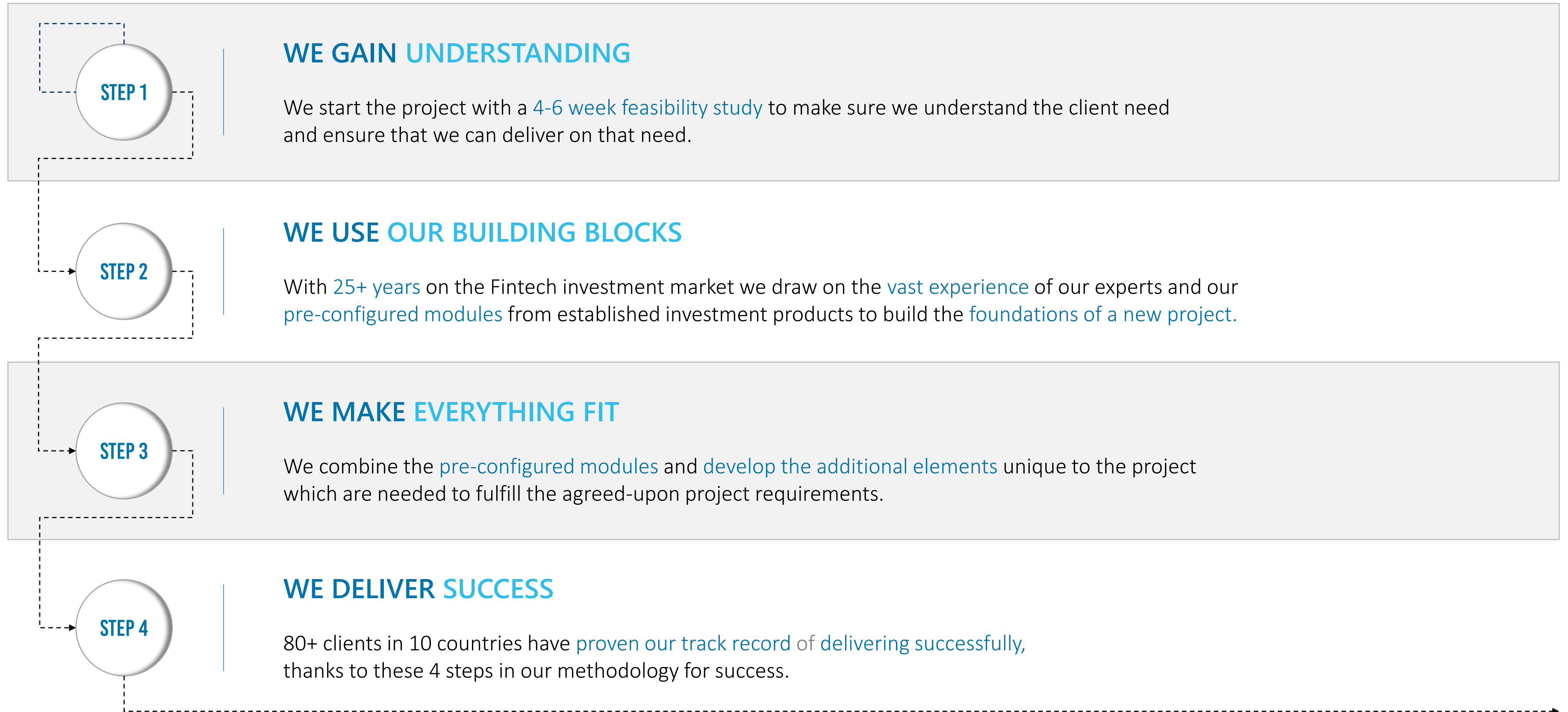
ABOUT DORSUM

Dorsum is **Europe's leading investment software & solutions provider** and **most trusted partner** for the digital transformation of investment services.

<p>10 countries with projects</p> 	<p>80+ clients with 10k daily users</p> <p>ESG Number of ESG projects on the rise across Europe!</p>	<p>300+ employees in 5 international offices</p> 	<p>15+ international awards</p> 
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DORSUM'S METHODOLOGY TO SOLVE YOUR BUSINESS CHALLENGES



ESG IS NOW A PART OF THE MAINSTREAM

Current worldwide initiatives, legislative and regulatory efforts are placing increased focus on directing capital flows towards more sustainable activities and demand the financial industry to contribute to economic transformation.

92%



GROWING DEMAND

92% of UHNW clients are looking beyond return (74% for Mass Affluent and 78% for HNW)

59%



VALUE CREATION

59% of respondents cited brand and reputation as their primary ESG investing driver

49%



CLIENT ENGAGEMENT

49% ask for ESG factors to be included in the investment analysis

20+



REGULATIONS

Almost unmanageable nr. of regulations and recommendations in effect and incoming

HOW DOES ESG FIT INTO YOUR CLIENT JOURNEY?

PRE-ADVISORY

Data gathering

Review client portfolio

Analyse goals, risk, fiscal situation

Develop investment strategy

ESG market data

Gather additional client info

ESG client preferences



ADVISORY IN PERSON / ONLINE

Data in use

Discuss client's current financial situation

Discuss goals and objectives

Present investment strategy

Risks and returns, market insights

ESG recommendation

ESG rebalancing



POST-ADVISORY

Data displayed

Monitoring of investments

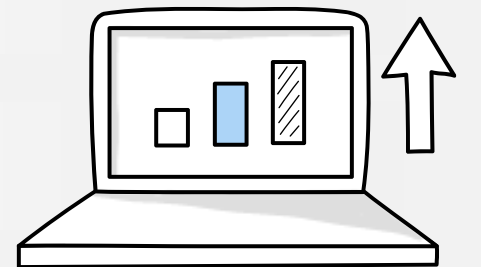
Reporting

ESG specific reporting in client portal

Review of goals and objectives

Continuous adaptation

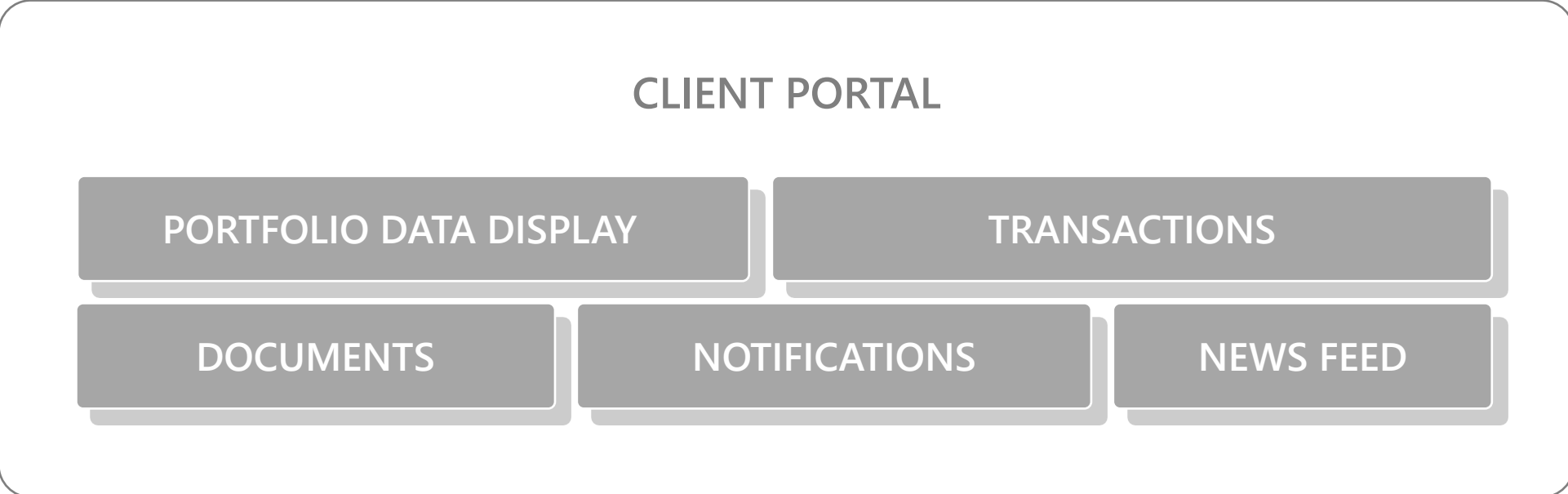
Communication



DORSUM'S ESG LAYER INTEGRATES WITH YOUR SOLUTIONS TO EXPAND YOUR REACH

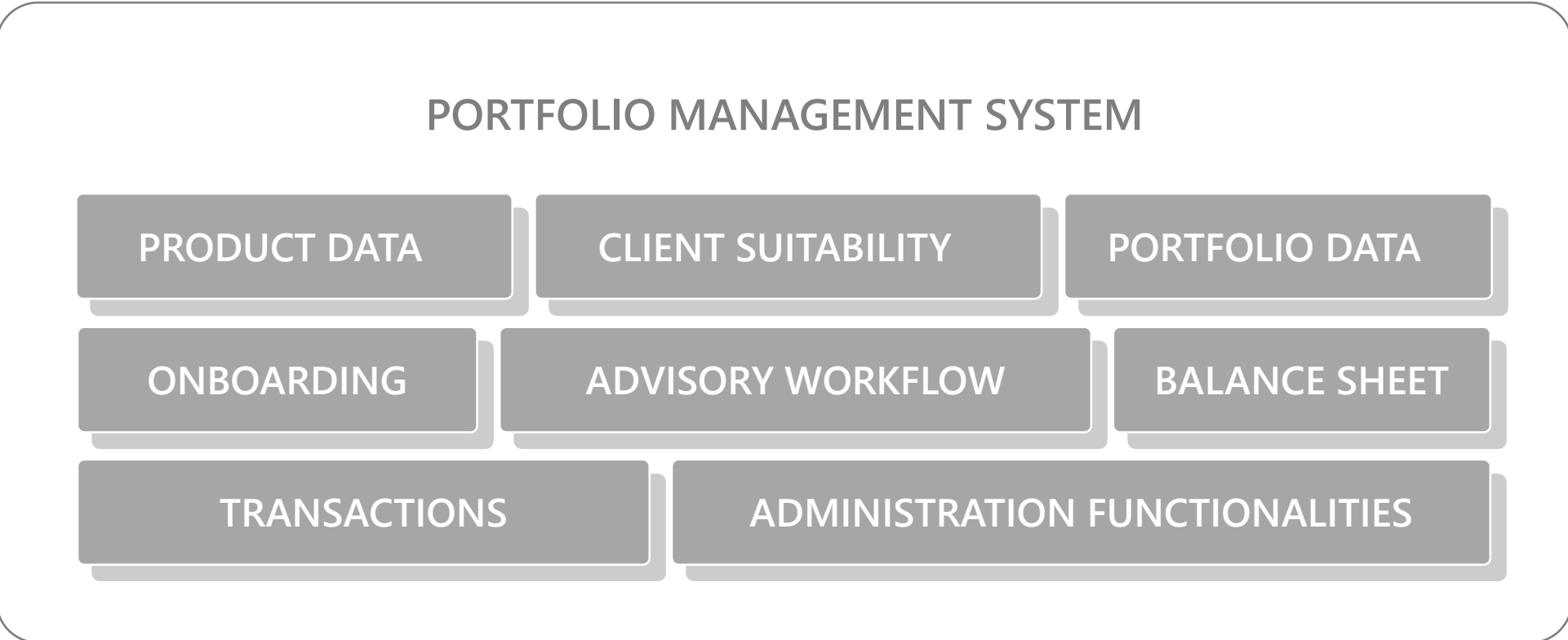
End-user experience layer

Greenfield, integrated or embedded into existing channels



Build on your infrastructure & regulation framework

Quick to launch, lowers implementation risks



DORSUM'S ESG LAYER INTEGRATES WITH YOUR SOLUTIONS TO EXPAND YOUR REACH

End-user experience layer

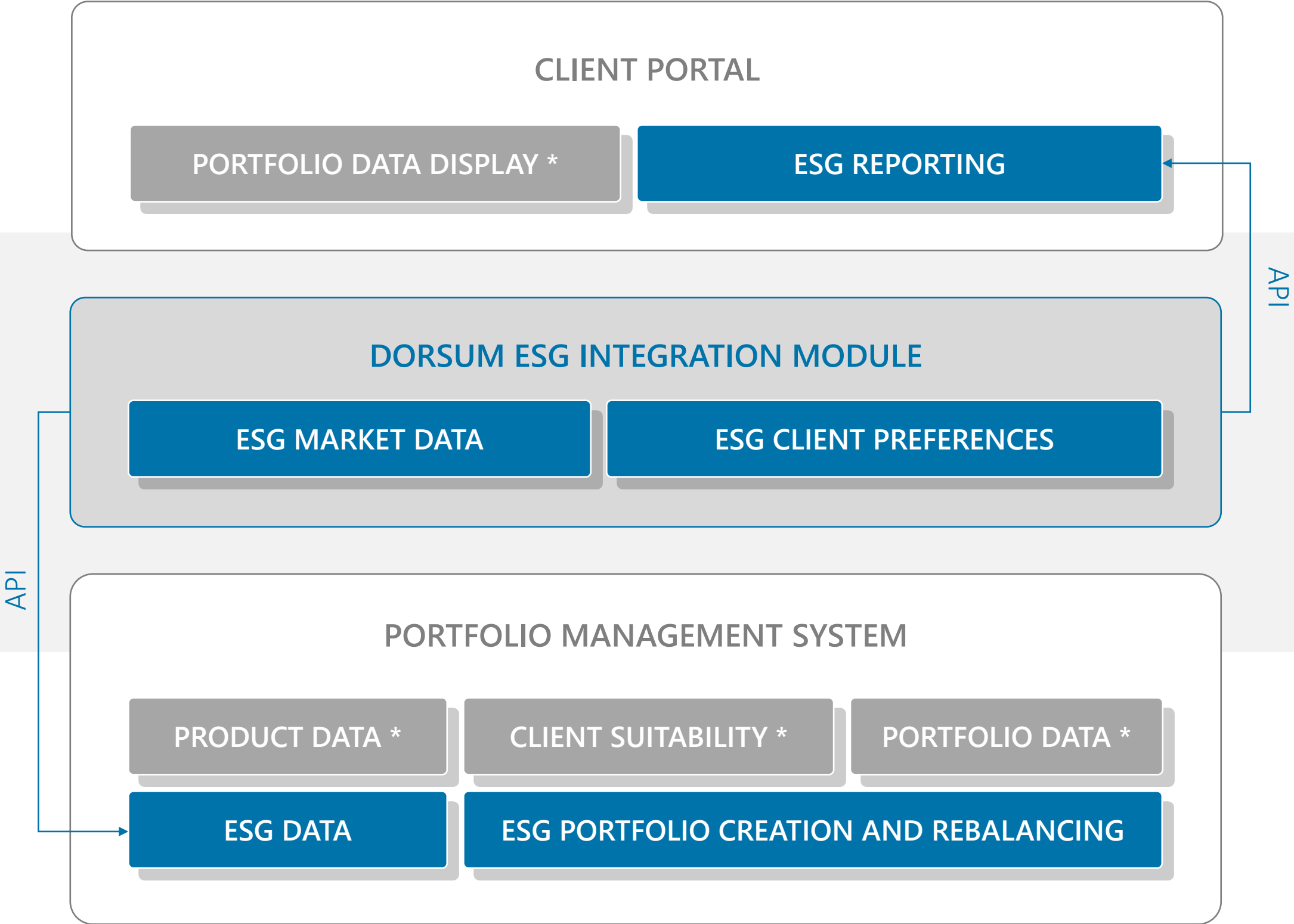
Greenfield, integrated or embedded into existing channels

Dorsum's configurable ESG module

- This integrated layer sits between your existing PMS and Client-facing solution
- We integrate ESG data into your existing advisory process and end-user reports
- Data is sourced from leading providers and our own ESG client profiling questionnaire

Build on your infrastructure & regulation framework

Quick to launch, lowers implementation risks



* Required for ESG integration

CLIENT NEEDS AND REGULATIONS CREATE **CHALLENGES TO SOLVE**



INTEGRATION OF ESG IN YOUR ADVISORY PROCESS

We provide a comprehensive client questionnaire to gather ESG investment preferences and seamlessly integrate it as a dedicated step in the advisory process.



INTEGRATION OF ESG DATA ON PRODUCT LEVEL IN YOUR PMS

We use the current gold standard set by MiFID to display the investment product's ESG Details in portfolio models.



INTEGRATION OF SUSTAINABILITY REPORTING IN YOUR CLIENT PORTAL

We display ESG metrics in an easy-to-read and easy-to-understand way as well as necessary educational content.

INTEGRATION OF ESG IN YOUR ADVISORY PROCESS

MiFID II compliant

Customisable

Available pre-prepared

Easily adoptable to any KYC workflow

Resulting data used in recommendation intelligence

ESG QUESTIONNAIRE GETS YOUR CLIENTS INVOLVED

- **Requirement:** When assessing suitability, advisers need to discuss the client's ESG preferences as per MiFID II
- **Questionnaire:** Interactive questionnaire introduces ESG into any client meeting or KYC workflow regardless of prior knowledge
- **Turn interest into investment:** Enable customers to include or exclude certain industries, themes from their investment portfolio. Assess client preferences and intention to invest in sustainable investment products
- **Summary:** ESG summary in the advisory protocol

EXAMPLE

SUSTAINABILITY PREFERENCES

I have been presented with the necessary information about sustainability preferences.

Yes No

Do you have any sustainability preferences?

Yes, I do have sustainability preferences and I wish to further discuss. I am somehow interested in the topic but do not wish to further specify any sustainability preferences. I do not have any sustainability preferences.

Please note, answers to the following questions are mandatory for clients who have sustainability preferences and wish to further discuss. For all other clients the MiFID II investment profile can be saved now.

What is the target share of products with sustainability characteristics in your portfolio?

Low (>0,1%) Moderate (>5%) High (>10%)

Low **Moderate** **High**

Min. share of products with sustainability characteristics in your portfolio:

%

Do you want to further define sustainability characteristics of your products?

Yes No

If yes, which are your preferred sustainability themes defined as Principal Adverse Impacts (PAIs)? Please tick the themes that are most important to you.

Environmental - Greenhouse Gas Emissions Environmental - Biodiversity Environmental - Water Environmental - Waste Social - Social and employee matter Sovereign - Environmental Sovereign - Social Real estate - Fossil fuel Real estate - Energy efficiency

If yes, do you wish to define a minimum proportion of sustainable investments within your product? Minimum share of sustainable investments (SFDR):

%

If yes, do you want to define a minimum proportion of environmentally sustainable investments (Taxonomy):

%

Comment:

[Back](#)

Key users

- Wealth & asset managers
- Large and small banks



INTEGRATION OF ESG DATA ON PRODUCT LEVEL IN YOUR PMS

ESG compliance % at a glance

Clear-to-read for advisers and clients

Full control over displayed information

Underlying data available

Builds client trust


TRANSPARENT ESG PRODUCT OFFER IN YOUR PMS

- **Model portfolios:** Models are screened for appropriateness and suitability based on MiFID test results
- **Compliance simplified:** Use Taxonomy, SFDR compliance and Principal Adverse Indicators to highlight and position your sustainable offering (including recommended % values)
- **Client preferences integrated:** Our ESG client questionnaire and its results are used to include sustainability in model selection
- **Recommendations:** Product cards support advisors to select the best fitting model portfolios for their clients

General product recommendations expanded with detailed ESG data sourced from leading ESG providers


✓ **RECOMMENDED**


GLOBAL SUSTAINABLE ENERGY
This fund invests in equity securities of global firms committed to using sustainable energy



Taxonomy compliance 15%
SFDR minimum compliance 0%

Principal Adverse Indicator Groups



 [Hide ESG Details](#) [Details](#)

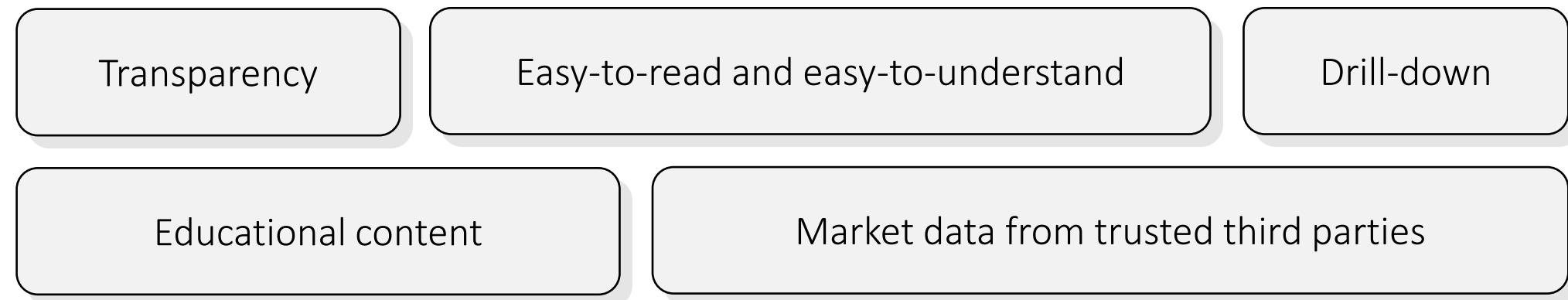
We use the current **GOLD STANDARD** set by MiFID to display the investment product's ESG Details

Key users

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INTEGRATION OF SUSTAINABILITY REPORTING IN YOUR CLIENT PORTAL



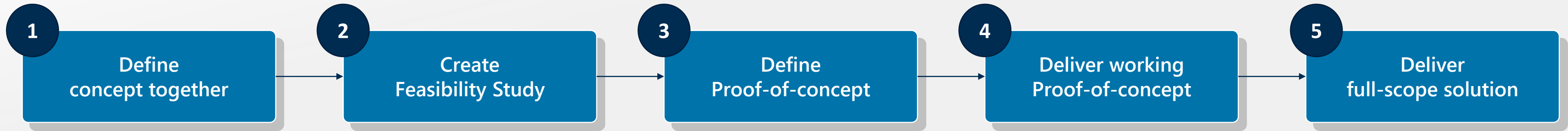
COMPREHENSIVE REPORTING MAKES SENSE OF THE DATA

- **Easy-to-understand metrics:** Simple and easy-to-read presentation of portfolio ESG analysis
- **Market data delivered:** Dorsum can deliver underlying data from 3rd party providers if needed
- **Reporting on a security level:** Individual equity pages with detailed ESG analysis
- **Drill-down:** Presentation at a high level by default, while users being able to drill deeper for more granular data
- **Educational content:** Videos and other educational content available throughout our functionality

REFINITIV  MSCI  
Underlying data available from trusted 3rd party providers through Dorsum



PROPOSED COOPERATION



By first [understanding client goals](#), requirements and the as-is business and IT architecture [in a feasibility study](#), we can [deliver a solution more effectively](#).

PROJECT PREPARATION

- **Detailed review** of your relevant systems, your sales and connected administrative processes
- **GAP analysis** with regards to systems and processes
- **Modification suggestions** for system developments and processes
- **To-be** business and IT architecture
- **The deliverable** of the assignment is a feasibility study with a detailed project plan and decision-making support material

PROJECT IMPLEMENTATION

- **Detailed specification** of the new module(s) to be implemented
- **Creating interfaces** between the new module and the core system(s)
- **Modifying** the core system based on the identified GAPs
- **Implementing and customizing** the MVP scope of the new module
- **Supporting** the continuous evolution of the module with new functionality and connections



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